



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	FIRST NAMED APPLICANT	CLASSIFICATION DOCKET NO./TITLE
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LEWIS F. GOULD JR.  
ECKERT SEAMANS, CHERIN & MELLOTT  
SUITE 3232  
1700 MARKET STREET  
PHILADELPHIA PA 19103

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DATE MAILED:

12/13/95

**NOTICE TO FILE MISSING PARTS OF APPLICATION  
FILING DATE GRANTED**

An Application Number and Filing Date have been assigned to this application. However, the items indicated below are missing. The required items and fees identified below must be timely submitted **ALONG WITH THE PAYMENT OF A SURCHARGE** for items 1 and 3-6 only of \$ 150.00 for large entities or \$ 65.00 for small entities who have filed a verified statement claiming such status. The surcharge is set forth in 37 CFR 1.16(e).

If all required items on this form are filed within the period set below, the total amount owed by applicant as a ☒ large entity ☐ small entity (verified statement filed) is \$ 207.00.

Applicant is given **ONE MONTH FROM THE DATE OF THIS LETTER, OR TWO MONTHS FROM THE FILING DATE** of this application, **WHICHEVER IS LATER**, within which to file all required items and pay any fees required above to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

1. ☒ The statutory basic filing fee is: ☒ missing ☐ insufficient. Applicant as a ☒ large entity ☐ small entity, must submit \$ 750.00 to complete the basic filing fee.
2. ☒ Additional claim fees of \$ 1,190 as a ☒ large entity, ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.
3. ☐ The oath or declaration:  
☐ is missing.  
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date is required.

4. ☐ The oath or declaration does not identify the application to which it applies. An oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
5. ☒ The signature(s) to the oath or declaration is/are: ☒ missing; ☐ by a person other than the inventor or a person qualified under 37 CFR 1.42, 1.43, or 1.47. A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
6. ☐ The signature of the following joint inventor(s) is missing from the oath or declaration:  
\_\_\_\_\_  
An oath or declaration listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.
7. ☐ The application was filed in a language other than English. Applicant must file a verified English translation of the application and a fee of \$ \_\_\_\_\_ under 37 CFR 1.17(k), unless this fee has already been paid.
8. ☐ A \$ \_\_\_\_\_ processing fee is required since your check was returned without payment. (37 CFR 1.21(m)).
9. ☐ Your filing receipt was mailed in error because your check was returned without payment.
10. ☐ The application does not comply with the Sequence Rules. See attached Notice to Comply with Sequence Rules 37 CFR 1.821-1.825.

☒ Other Address Information for inventor's  
is missing.

Direct the response to Box Missing Part and refer any questions to the Customer Service Center at (703) 368-1202.

**A copy of this notice MUST be returned with the response.**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT

In re Application of Louis D. Falo, Jr. and Kenneth L. Rock

Serial No.: 08/535,556

Filing Date: September 28, 1995

Atty. Docket No: 125350

FOR: STIMULATION OF CELL-MEDIATED IMMUNE  
RESPONSES BY TARGETED PARTICULATE GENETIC IMMUNIZATION

TRANSMITTAL LETTER

Assistant Commissioner for Patents  
Washington, DC 20231

Sir: Please find enclosed for filing:

- ☒ Response to Notice to File Missing Parts of Application  
(Notice enclosed)
- ☒ Signed Declaration for Patent Application of Louis D. Falo and Kenneth L. Rock
- ☒ Petition to Extend Time Under 37 C.F.R. 1.136(a), two months
- ☒ Two (2) Signed Verified Statement Claiming Small Entity Status:  
(1) University of Pittsburgh of the Commonwealth System of Higher Education  
(2) DANA-FARBER Cancer Institute
- ☒ Check in the amount of \$1225.00 for filing fee, surcharge and two month extension.
- ☒ Please charge any additional fees to Deposit Account No. 07-1745. In the event any additional extensions of time for filing the Notice are required, please treat this paper as an additional Petition under 37 CFR § 1.136(a) to extend the time as required and charge Deposit Account No. 07-1745 the appropriate extension fee.  
This Transmittal Letter is submitted in duplicate.

Date: MARCH 13, 1996

Respectfully submitted,

J. Mark Hand  
J. Mark Hand Registration No. 36,545  
ECKERT SEAMANS CHERIN & MELLOTT  
1700 Market Street Suite 3232  
Philadelphia, PA 19103 -  
(215) 575-6027

CERTIFICATE UNDER 37 CFR 1.8(a)  
I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS  
BEING DEPOSITED WITH THE UNITED STATES POSTAL  
SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE  
ADDRESSED TO ASSISTANT COMMISSIONER OF PATENTS,  
WASHINGTON, D.C. 20231

ON MARCH 13, 1996  
J. Mark Hand  
REGISTRATION NO. 36,545  
DATE MARCH 13, 1996



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Team 7 #3

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Louis D. Falo, Jr. and Kenneth L. Rock

Serial No.: 08/535,556

Filing Date: September 28, 1995

Atty. Docket No: 125350

FOR: STIMULATION OF CELL-MEDIATED IMMUNE  
RESPONSES BY TARGETED PARTICULATE  
GENETIC IMMUNIZATION

**RESPONSE TO NOTICE TO FILE MISSING  
PARTS OF APPLICATION**

Assistant Commissioner for Patents  
Washington, DC 20231

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WASHINGTON, D.C. 20231

ON MARCH 13, 1996  
J. Mark Hand  
REGISTRATION NO. 36,545  
DATE MARCH 13, 1996

Sir:

Responsive to the "Notice to File Missing Parts, Filing Date Granted," dated December 13, 1995 (Notice enclosed), submitted herewith in connection with the above-identified application are the executed Declaration of Patent Application, and two (2) Verified Statements claiming Small Entity Status.

A Declaration of Patent Application was executed by Louis D. Falo on January 9, 1996 and Kenneth L. Rock on February 9, 1996.

A Verified Statement Claiming Small Entity Status for (1) the University of Pittsburgh, and (2) DANA-FARBER Cancer Institute are enclosed. Louis D. Falo and Kenneth L. Rock will assign their rights in the above-identified invention, by contract, to the University of Pittsburgh of the Commonwealth System of Higher Education and DANA-FARBER Cancer Institute, respectively.

The filing fee, as a small entity, has been calculated to be \$970.00. The surcharge for late filing of Declaration is \$65.00. The charge for a two month extension to respond to the Notice under 37 C.F.R. § 1.136(a) is \$190.00. The total fee due is \$1225.00. If this

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1 203 595.00 CK  
1 205 65.00 CK

calculation is incorrect and Applicant is shown to owe additional fees, please charge these additional fees to Deposit Account No. 07-1745. Please credit any overpayment to Deposit Account No. 07-1745.

Respectfully submitted,

Date: MARCH 13, 1996

  
J. Mark Hand

Registration No. 36,545  
ECKERT SEAMANS CHERIN & MELLOTT  
1700 Market Street Suite 3232  
Philadelphia, PA 19103  
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